Sheet 1(A) of 3 SUBSTITUTE FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. SERIAL NO. 10/072,610 PATENT AND TRADEMARK OFFICE THERM/06 INFORMATION DISCLOSURE **APPLICANT** STATEMENT BY APPLICANT Roger A. Stern, et al. FILING DATE GROUP (Use several sheets if necessary) February 6, 2002 3837 **U.S. PATENT DOCUMENTS** FILING DATE ISSUE **EXAMINER** IF APPROPRIATE **SUBCLASS** PATENT NUMBER DATE **PATENTEE** CLASS INITIA 400 5/5/1995 6 6 0 8 3 8/26/1997 Knowlton 424 A.A 5 6 102 8/19/1997 2 607 A.B 5 9 9 7/6/1999 Knowlton 607 101 10/28/1997 A.C 5 9 4 8 0 9/7/1999 Knowlton 607 99 1/5/1996 2 5 6/5/2001 Knowlton A.D 6 4 3 101 8/23/1999 10/30/2001 Knowlton 607 6 3 0 9 0 A.E 1 607 104 6/30/1999 5 2/26/2002 Knowlton A.F 3 0 2 7 6 3 5 4/23/2002 Knowiton 607 101 12/15/1997 6 7 8 4 A.G 1/6/1998 7 5 4/23/2002 607 101 3 7 8 5 Knowlton 6 A.H 1/6/1998 607 101 3 8 9 8 4/30/2002 Knowlton 6 4 A.I 1 1/6/1998 101 6 3 8 4 9 4/30/3003 Knowlton 607 A.J 1 424 400 4/17/1996 5/14/2002 A.K 6 3 8 7 3 8 0 Knowlton FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS TRANSLATION **PUBLICATION COUNTRY OR** DOCUMENT **SUBCLASS** (YES/NO) PATENT OFFICE **CLASS** NUMBER DATE N/A **PCT** N/A N/A N/A A.L Application No. PCT/US04/O9256 A.M A.N A.O A.P A.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

A.R Knowton et al., <u>United States Patent Application Publication No. US 2004/O002704</u>, Publication Date: 1/1/2004

A.S Knowton et al., <u>United States Patent Application Publication No. US 2004/O000316</u>, Publication Date: 1/1/2004

A.T Knowton et al., <u>United States Patent Application Publication No. US 2004/O030332</u>, Publication Date: 2/12/2004

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Substitute Disclosure Form (PTO-1449)

U.S. DEPARTMENT OF COMMERCE ATTY, DOCKET NO. SERIAL NO. SUBSTITUTE FORM PTO-1449 PATENT AND TRADEMARK OFFICE 10/072.610 THERM/06 (MODIFIED) **APPLICANT** INFORMATION DISCLOSURE STATEMENT BY APPLICANT Roger A. Stern, et al. (Use several sheets if necessary) **FILING DATE GROUP** 3837 February 6, 2002 (37 CFR 1.98(b)) U.S. PATENT DOCUMENTS FILING DATE ISSUE **EXAMINER** IF APPROPRIATE **SUBCLASS** CLASS INITIAL PATENT NUMBER DATE PATENTEE 607 102 6/30/1999 9 6/11/2002 6 4 0 5 0 0 Knowiton B.A 41 3/9/2000 2 7/2/2002 606 5 B.B 6 4 3 5 Stern 607 101 9/30/1997 7/30/2002 Knowlton B.C 6 4 2 5 9 1 2 3/28/1997 8/6/2002 Knowiton 607 101 6 4 3 0 4 4 б B.D 9/17/1999 102 9/17/2002 607 Knowlton 6 4 5 3 2 0 2 8.E 12/20/2001 104 8/15/2004 Knowlton 607 7 4 9 6 2 B.F 6 B.G B.H B.I B.J B.K FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS TRANSLATION **PUBLICATION COUNTRY OR DOCUMENT** PATENT OFFICE **SUBCLASS** (YES/NO) CLASS NUMBER DATE B.L B.M B.N **B.O** B.P B.Q OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication) Stern et al., United States Patent Application Publication No. US 2004/0034346, Publication Date: 2/19/2004 B.R Knowlton et al., United States Patent Application Publication No. US 2003/O212393, Publication Date: 11/13/2003 B.S Knowlton et al., United States Patent Application Publication No. US 2004/0002705, Publication Date: 1/1/2004 B.T DATE CONSIDERED **EXAMINER** EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not/in conformance and not considered.

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, U	US/2002/0156471	10/24/2002	Stern et al.	606	41		
	5,496,314	03/05/1996	Eggers et al.	606	41		
	6,413,255	07/02/2002	Stern	606	41		
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1	/	2003/0097162	05/22/2003	Kreindel				
	\	2003/0129154	07/10/2003	McDaniel				
•		2003/0130710	07/10/2003	Baker et al.				
		2003/0139740	07/24/2003	Kreindel				
		2003/0163178	08/28/2003	Davison et al.				
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		2003/0233138	12/18/2003	Spooner				
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11		2004/0015157	01/22/2004	Connors et al.	·			
		2004/0133251	07/08/2004	Altshuler et al.				
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		2004/0199226	10/07/2004	Shadduck				
		4,585,237	04/29/1986	Коор				
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R.	V	4,646,737	03/03/1987	Hussein et al.				
		4,709,372	11/24/1987	Rando et al.				
		4,864,098	09/05/1989	Basanese et al.			_	
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		5,011,483	04/30/1991	Sleister				
		5,057,104	10/15/1991	Chess				
		5,107,832	04/28/1992	Guibert et al.				
		5,131,904	07/21/1992	Markoll				
		5,136,676	08/04/1992	Arnett et al.				
		5,190,031	03/02/1993	Guibert et al.				
		5,312,395	05/17/1994	Tan et al.				
		5,344,418	09/06/1994	Ghaffari				
		5,364,394	11/15/1994	Mehi				
		5,387,176	02/07/1995	Markoll				
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W		5,397,327	03/14/1995	Koop et al.	-			
0		5,401,272	03/28/1995	Perkins				
		5,405,368	04/11/1995	Eckhouse				
		5,454,808	10/03/1995	Koop et al.				
,		5,486,172	01/23/1996	Chess				
		5,509,916	04/23/1996	Taylor				
		5,522,814	06/04/1996	Bernaz				
		5,599,342	02/04/1997	Hsia et al.				
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		5,626,631	05/06/1997	Eckhouse				
		5,628,744	05/13/1997	Coleman et al.			,	
		5,669,868	09/23/1997	Markoll				
		5,683,380	11/04/1997	Eckhouse et al.				
		5,720,772	02/24/1998	Eckhouse				
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	1	5,730,719	03/24/1998	Edwards				
V		5,755,751	05/26/1998	Eckhouse				· · · · ·
		5,814,040	09/29/1998	Nelson et al.				
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		5,851,181	12/22/1998	Talmor				
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i		6,015,404	01/18/2000	Altshuler et al.				
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00	1	6,171,301	01/09/2001	Ne	elson et al.					
		6,183,773	02/06/2001	Ar	nderson					
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		6,267,758	07/31/2001	Da	aw et al.					
		6,280,438	08/28/2001	Ec	ckhouse et al.					
		6,283,956	09/04/2001	M	cDaniel					
		6,299,620	10/09/2001	Sh	nadduck et al.					
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		6,402,739	06/11/2002	Ne	eev					
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		6,463,336	10/08/2002	Mawhinney						
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		5,814,040	9/29/98	Nelson et al.	606	5	9	5/15/95	
		5,595,568	1/27/97	Anderson et al.	606	5	9	2/1/95	
		5,735,844	4/7/98	Anderson et al.	606	5	9	4/7/98	<u>.</u>
		6,659,999	12/9/03	Anderson et al.	606	5	9	6/5/00	
		5,979,454	11/9/99	Anvari et al.	128	3	898	6/6/97	
		6,171,301	1/9/01	Nelson et al.	600	5	9	11/3/97	,
		5,628,744	5/13/97	Coleman et al.	600	5	12	12/21/9	3
		5,683,380	11/4/97	Eckhouse et al.	600	5	19	3/29/95	;
		5,810,801	11/22/98	Anderson et al.	600	5	9	2/5/97	
	1	5,885,273	3/23/99	Eckhouse et al.	600	5	9	2/9/96	
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		Thermage, Inc. ' Exhibits A-D, A		Dave B. Koo in Support of Motio	on for P	relim	inary Injuncti	on" and at	tached
Syneron Medical, Ltd., Syneron, Inc., "Declaration of Rober Opposition to Plaintiff's Motion for a Preliminary Injunction					McArth d attach	ur in ed E	Support of Sy xhibits 1-25, A	neron's lugust 17,	2004.
		Syneron Medica Injunction", Aug		n, Inc., "Memorandum in Opposit	ion to P	lainti	iff's Motion fo	r a Prelim	inary
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/yv	6,248,103	6/19/01	Tannenbaum et al.	606	9	5/28/99	)		
	5,906,609	5/25/99	Assa et al.	606	9	2/5/97			
	5,938,657	8/17/99	Assa et al.	606	9	2/5/97			
	5,964,749	10/12/99	Eckhouse et al.	606	9	9/15/95	;		
	6,050,990	4/18/00	Tankovich et al.	606	9	12/4/97	'		
	6,090,101 7/18/00		Quon et al.	606	9	12/10/9	7		
	6,104,959	8/15/00	Spertell	607	101	7/31/97	,		
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(h)			n, Inc., "Declaration of Dr. Warrer n for a Preliminary Injunction" and						
1	Syneron Medical, Ltd., Syneron, Inc., "Declaration of Dr. Michael Kreindel in Support of Syneron's Opposition to Plaintiff's Motion for a Preliminary Injunction" and attached Exhibit A, August 27, 2004.								
			n, Inc., "Declaration of Domenic S minary Injunction" and attached E				osition		
			n, Inc., "Declaration of Moshe Miz nary Injunction", August 17, 2004		oport of Synero	n's Oppos	ition to		
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6,210,402	4/3/01	Olsen et al.	606	32	11/25/9	7
6,235,024	5/22/01	Tu	606	41	6/21/99	1
6,337,998	1/8/02	Behl et al.	607	101	7/14/99	
4,140,130	2/20/79	Storm, III	607	154	5/31/77	
5,948,009 9/7/99		Tu	607	96	3/6/98	
6,047,215 4/4/00		McClure et al.	607	101	3/6/98	
6,273,884	8/14/01	Altshuler et al.	606	9	5/13/98	; 
6,336,926	1/8/02	Goble	606	34	1/18/00	) 
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Syneron Medical Jury Demand and	, Ltd., Synero I Declaratory	n, Inc., "Syneron Medical Ltd.'s ar Judgment, Counterclaim against T	nd Syneron, hermage, Ir	Inc.'s Answer to	Compla 2004.	int with
Thermage, Inc.,	'Reply Memo	randum re Motion for Preliminary	Injunction'	', September 3, 2	2004.	:
Thermage, Inc., attached Exhibits	Declaration of A-B, Septem	f John M. Benassi in Support of N ber 3, 2004.	1otion for P	reliminary Injun	ction" ar	ıd
			for Prelim	inary Injunction	" and atta	iched
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6,387,089	5/14/02	Kreindel et al.	606		9	5/10/99	
5,964,749	10/12/99	Eckhouse et al.	606	6 9		9/15/95	
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		of Robert Gerberich in Support of	Motion f	or Prel	iminary Inju	nction",	
Thermage, Inc., September 3, 20	"Declaration of 04.	of Edward W. Knowlton in Suppor	rt of Mot	ion for	Preliminary	Injunctio	on",
Thermage, Inc., September 3, 20	"Declaration	of Richard J. Meader in Support of	f Motion	for Pre	eliminary Inj	unction",	
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	Syneron Medical Motion", Septem		on, Inc., "Surreply in Opposition to	Thermag	e, Inc.'s Prelimina	ary Injund	ction	
			on, Inc., "Supplemental Declaration ed Exhibits A-C, September 10, 20		eiman in Oppositi	on to Pre	liminary	
	Syneron Medical Preliminaty Inju	l, Ltd., Syneronction Motion	on, Inc., "Supplemental Declaration" and attached Exhibits A-B, Sept	n of Warre ember 10.	en Grundfest in O 2004.	pposition	to	
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	Thermage, Inc., September 14, 2		um in Opposition re Motion for Pre	liminary In	junction to Syne	eron's Su	rreply",
	Judge Charles F	t. Breyer, "O	rder Regarding Questions for Oral	Argument"	, September 16,	2004.	
	Thermage, Inc.,	"Answer to	CounterClaim", September 16, 200	4. ]	1		
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	Judge Charles R.	Breyer, "Oro	der denying Motion for Prelimina	ry Injunction	', September 27	, 2004.	
	Judge Charles R.	Breyer, "Tra	nscript of Proceedings held on 09	0/17/04", Oct	ober 8, 2004.		
	Anvari et al., "Dy Theoretical and P	mamic Epide reliminary C	ermal Cooling in Conjunction wit Clinical Evaluations," Lasers in M	h Laser Treat edical Studie	ment of Port-W s, 10: 105-112,	ine Stains 1995	s: 
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62	Anvari et al., "S Cryogen Spray	patially Sele Cooling," Ap	ctive Photocoagulation of Biologic oplied Optics, Vol. 35, No. 19, July	al Tissues: 1 1, 1996.	Feasibility Study	/ Utilizin	g 
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identical in the statement and relied upon for an earlier filing date under 35 U.S.C. §120. 37 C.F.R. §1.98 (d).

APPLICATION NO.

10/072,610 39238-0747 FORMATION DISCLOSURE TITLE: Handpiece for treatment of tissue CITATION APPLICANT: STERN, Roger et al PTO-1449 Art Unit: 3739 FILING DATE: 02/06/2002 **U.S. PATENT DOCUMENTS CLASS SUBCLASS** FILING NAME PATENT NO. DATE **EXAMINER'S** DATE INITIALS 7/21/97 6,014,579 1/11/00 Pomeranz et al. 600 374 385 11/12/98 11/30/99 Anderson et al. 359 5,995,283 6/6/97 898 128 5.979.454 11/9/99 Anvari et al. 66 11/4/96 623 7/20/99 5.925.078 Anderson 606 9 5/8/98 6/15/99 Yarborough et al. 5,911,718 385 7/15/96 3/9/99 359 Anderson et al. 5,880,880 4/25/97 604 51 3/9/99 Godshall et al. 5,879,326 15 7/7/95 606 5,814,041 9/29/98 Anderson et al. 5/15/95 606 9 9/29/98 Nelson et al. 5,814,040 9/22/98 606 9 9/22/98 Anderson et al. 5.810.801 59 3/15/94 424 5.556.612 9/17/96 Anderson et al. 1/30/96 606 9 4/7/98 Anderson et al. 5,735,844 15 4/8/94 606 Gregory et al. 5,649,923 7/22/97 66 1/19/94 623 11/5/96 Anderson 5,571,216 2/1/95 9 606 1/21/97 Anderson et al. 5,595,568 1/6/95 606 9 5,558,667 9/24/96 Yarborough et al. FOREIGN PATENT DOCUMENTS TRANSLATION COUNTRY **SUBCLAS** CLASS **EXAMINER'S** PATENT NO. DATE S **INITIALS** NO YES OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) ک۵ DATE CONSIDERED **EXAMINER** EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through ditation if not in

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<sup>\*</sup>If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identical in the statement and relied upon for an earlier filing date under 35 U.S.C. §120. 37 C.F.R. §1.98 (d).

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	2003/0199859	10/23/03	Altshuler et a	al.	606	9	5/21/	03
	2003/0208326	11/6/03	Chen et al.		702	49	3/12/	03
	2003/0218756	11/27/03	Chen et al.		356	497	1/16/	<b>)</b> 3
	2003/0220749	11/27/03	Chen et al.		702	31	4/9/0	3
	2004/0034341	2/19/04	Altshuler et a	al.	606	3	8/12/0	03
	2004/0034319	2/19/04	Anderson et	al.	604	20	3/12/0	03
	2004/0039379	2/26/04	Viator et al.		606	9	2/7/0	3
	2004/0093042	5/13/04	Altshuler et a	nl.	607	88	6/17/0	)3
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	5,300,097	4/5/94	Lerner et al.	<del></del>	607	93	9/18/9	92
	5,304,171	4/19/94	Gregory et al	l	606	15	2/2/93	3
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<sup>\*</sup>If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identical in the statement and relied upon for an earlier filling date under 35 U.S.C. §120. 37 C.F.R. §1.98 (d).

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0,	2002/0123745	9/5/02	Svaasand, e	t al.	606	9	1/23/	01
	2002/0091377	7/11/02	Anderson et	al.	606	9	1/25/	01
	2002/0065533	5/30/02	Weaver et al		606	191	6/7/0	1
	2002/0022827	2/21/02	Esch et al.		606	7	9/6/0	1
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<sup>\*</sup>If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identical in the statement and relied upon for an earlier filling date under 35 U.S.C. §120. 37 C.F.R. §1.98 (d)

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PV	5,500,012	3/1996	Brucker et al		607	122		
	5,556,377	9/1996	Rosen et al.	····	604	22		
	5,643,334	7/1997	Eckhouse et	al.	607	88		
	5,655,547	8/1997	Karni		128	898		
	5,776,092	7/1998	Farin et al.		604	22		
	5,776,175	7/1998	Eckhouse et	al.	607	100		
	5,833,612	11/1998	Eckhouse et	al.	600	476		
	5,836,999	11/1998	Eckhouse et	al.	607	88		
	5,964,749	10/1999	Eckhouse et	al.	606	9		
	5,970,983	11/1999	Karni et al.		128	898		
	6,162,212	12/2000	Kreindel, et a	ai	606	9		
	6,387,089	05/2002	Kreindel, et a	ıl.	606	9		
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A DEMUNATOR	·	U.S	S. PATENT DOCUMENTS					
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R	5,217,455	06/08/93	Tan	606	9			
	5,249,192	09/28/93	Kuizenga et al.	372	23			
	5,290,273	03/01/94	Tan	606	3			
	5,360,447	11/01/94	Коор	623	15			
	5,522,813	06/04/96	Trelles	606	2			
	5,527,350	06/18/96	Grove et al.	607	89			
	5,531,739	07/02/96	Trelles	606	2.5			
	5,558,667	09/24/96	Yarborough et al.	606	9			
	5,578,029	11/26/96	Trelles et al.	606	25			
	5,599,342	02/04/97	Hsia et al.	606	9			
	5,746,735	05/05/98	Furumoto et al.	606	9			
	5,743,901	04/28/98	Grove et al.	606	9			
	5,749,868	05/12/98	Furumoto	606	9			
	5,754,573	05/19/98	Yarborough et al.	372	22			
	5,810,801	09/22/98	Anderson et al.	606	9			
	5,814,040	09/29/98	Nelson et al.	606	9			
	5,843,072	12/01/98	Furumoto et al.	606	9			
	5,843,078	12/01/98	Sharkey	606	41			
	5,871,479	02/16/99	Furumoto et al.	606	9			
	5,911,718	06/15/99	Yarborough et al.	606	9			
	5,979,454	11/9/99	Anvari et al.	128	898			
	5,983,900	11/16/99	Clement et al.	128	1 898			
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(V)	6,045,548	04/04/00	Furumoto et al.	606	9		
- U ·	6,077,294	06/20/00	Cho et al.	607	89		
	6,171,301	01/09/01	Nelson et al.	606	9		
	6,228,075	05/08/01	Furumoto	606	9.		
	6,240,925	06/05/01	McMillan et al.	128	898		
	6,248,103	06/19/01	Tannenbaum et al.	606	9		
	6,273,883	08/14/01	Furumoto	606	9		
	6,383,176	05/07/02	Connors et al.	606	9		
	6,387,089	05/14/02	Kreindel et al.	606	9		
	6,436,094	08/20/02	Reuter	606	9	-	
	2002/0016587	02/07/02	Furumoto	606	7		-
	2002/0035360	03/21/02	Conners et al.	606	9 .		
	2002/0049433	04/25/02	Furumoto et al.	606	9		
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	WO 00/44297	08/03/00	PCT <sup>*</sup>	A61B	18/20		
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		8/1		3,831,604	8/74	Neefc		128	260	9/19/7	3		
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1	Ar a cons	ARTO		4,140,130	2/79	Storm, III		128	404	5/31/7	7		
	HADE			4,164,226	8/79	Tapper Waggott		128	419 R	6/13/77 9/7/79 10/4/79			
				4,290,435	8/81			128	800				
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		Allain, et al. "Isometric Tensions Developed During the Hydrothermal Swelling of Rat Skin", Connective Tissue Research, vol 7, pp. 697-701, (1990).  Danielson, C. "Age-Related thermal stability and susceptibility to proteolysis of rat bone collagen",chem, Great Britain, pp. 697-701, (1990).  Danielson, C. "Thermal stability of reconstituted collagin fibrils, shrinkage characteristics upon in vitro maturation", Mechanisms of Ageing and Development, Vol 15, pp. 269-278, (1981).  Kronick, et al. "The locations of collagens with different thermal stabilities in fibrils of bovine recticular dermis". Connective Tissue Research, Vol. 18, pp. 123-134, (1988).								tive			
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							sion processes", ISA,	1.0	-044, pp. 355-	360, (19	93)		
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## INFORMATION DISCLOSURE CITATION

PTO-1449

ATTY. DOCKET NO. 39238-0747

APPLICATION NO. 10/072,610

TITLE:

Handpiece For Treatment of Tissue

APPLICANT Stem et al.

FILING DATE February 6, 2002 GROUP 3739

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U.S. PATENT	DOCUMENTS							
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4,381,007 4/83		4/83	Doss		128	303.1	4/30/81	
4,441,486 4/84		Pounds		128	24	10/27/81		
4,545,368 10/85		10/85	Rand, et al.		128	1.3	4/13/8	3
	4,676,258	6/87	Inokuchi, et al.		128	804	6/5/86	
	4,709,701	12/87	Weber		128	422	4/14/8	6
	4,881,543	11/89	Trembly, et al.		128	303.1	6/28/88	
	4,887,614	12/89	Shirakami, et al.  Watmough et al.  Hernandez et al.		128	798	4/18/89 4/11/88 4/18/89	
	4,889,122	12/89				399		
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W	Doubled Neodyr	nium:YAG La	ser: A Case Repo	sia Using the Versa ort.				
)	Chess, C.; Chess	, Q. "Cool La Oncol. 1993; 1	ser Optics Treatm 9:74-80.	ent of Large Telan	giestasia of	the Lower Ext	remities	." <i>J.</i>
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XX	5,423,807	6/95	Milder		606	20	1/24/9	4			
7	5,423,811	6/95	Imran, et al.		606	41	3/16/9	4			
	5,437,662 8/9		Nardella		606	40 .	2/17/9	4			
	5,458,596		Lax, et al.		606	31	5/6/94				
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	5,569,242 10/96		Lax, et al.		606	42	2/16/9	5			
	4,756,310	7/12/88	Bitterly		128	400					
	4,633,875	7/1987	Turner								
	6,139,569	10/2000	Ingle et al.		607	104					
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}	4,140,130	2/1979	Storm, III								
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·	4,556,070	12/1985	Vaguine et al.								
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AV	5,366,443	11/94	Eggers, et al.			·				
	5,697,909	12/97	Eggers, et. al.							
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	5,697,536	12/97	Eggers, et al.					-		
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1	5,609,573	03/11/1997	Sandock	604	22	02/28/	02/28/1996	
	5,630,426	05/20/1997	Eggers, et al.	128	734	03/03/	1995	
	5,948,011	09/07/1999	Knowlton	607	101	10/28/	1997	
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	6,169,926	1/2/01	Baker	607	99						
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